

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Poorvi L. Vora et al

Confirmation No.:

Application No.: Unassigned

Examiner: Unassigned

Filing Date: Herewith

Group Art Unit:

Title: Anonymous Acquisition Of Digital Products Based On Secret Splitting

HC  
JC821 U.S. PRO  
09/944739  
08/31/01

COMMISSIONER FOR PATENTS

Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (X) under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ( ) under 37 CFR 1.97(c) together with either a:  
( ) Statement under 37 CFR 1.97(e), or  
( ) a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs)
- ( ) under 37 CFR 1.97 (d) together with a:  
( ) Statement under 37 CFR 1.97(e), and  
( ) a petition under 37 CFR 1.97(d)(2), and  
( ) a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of **\$0.00**. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

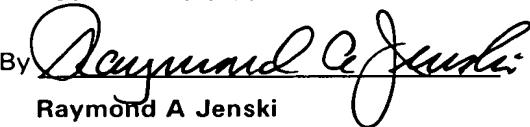
"Express Mail" label no. EL6049100431US

Respectfully submitted,

Date of Deposit August 31, 2001

Poorvi L. Vora et al

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

By 

Raymond A Jenks

Attorney/Agent for Applicant(s)  
Reg. No. 31,267

Typed Name: Raymond A. Jenks

Date: August 31, 2001

FORM PTO-1449		ATTY. DOCKET NO. <b>10004408-1</b>	APPLICATION NO.	CONFIRMATION NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT <b>Poorvi L. Vora, et al.</b>		
(Use several sheets if necessary)		FILING DATE <b>Herewith</b>	GROUP	

JC821 U.S. PTO  
09/94/0739  
08/31/01

## REFERENCE DESIGNATION                    U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	1A					
	1B					
	1C					
	1D					
	1E					
	1F					
	1G					
	1H					
	1I					
	1J					
	1K					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION
							YES    NO
	1L						
	1M						
	1N						
	1O						
	1P						

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	'Applied Cryptography, Second Edition' by Bruce Schneier, copyright 1996; published by John Wiley & Sons, p.p. 70-74 (with citations)
1R	"RealNetworks in Real Trouble" Wired News Report, Nov. 10, 1999; p.p. 1-3; printed from the Internet 03/13/2001 from <a href="http://wirednews.com/news/politics/0,1283,32459,00.html">http://wirednews.com/news/politics/0,1283,32459,00.html</a>
1S	"SafeNet 2000: Security and Privacy Leaders Gather at Microsoft Campus to Seek Solutions to Challenges Facing Internet Users" Redmond, Wash., Dec 7, 2000; PressPass, p.p.1-3; printed from the Internet 03/13/2001 from <a href="http://www.microsoft.com/PressPass/features/2000/dec2000/12-07safenet.asp">http://www.microsoft.com/PressPass/features/2000/dec2000/12-07safenet.asp</a>

EXAMINER

DATE CONSIDERED

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR</b> <b>APPLICANT'S INFORMATION DISCLOSURE</b> <b>STATEMENT</b>  <b>(Use several sheets if necessary)</b>	<b>ATTY. DOCKET NO.</b>	<b>APPLICATION NO.</b>	<b>CONFIRMATION NO.</b>
	<b>10004408-1</b>		
	<b>APPLICANT</b>		
	<b>Poorvi L. Vora, et al.</b>		
<b>FILING DATE</b>	<b>GROUP</b>		
<b>Herewith</b>			

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	2A					
	2B					
	2C					
	2D					
	2E					
	2F					
	2G	-	-	-	-	-
	2H					
	2I					
	2J					
	2K					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	2L							
	2M							
	2N							
	2O							
	2P							

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

2Q	<p>"Intel Nixes Chip-Tracking ID" by Declan McCullagh, Apr. 27, 2000; LYCOSNETWORK; p.p. 1-3; printed from the Internet 03/13/2001 from <a href="http://www.wired.com/news/politics/0,1283,35950,00.html">http://www.wired.com/news/politics/0,1283,35950,00.html</a></p>
2R	<p>"Untraceable Electronic Mail, Return Addresses and Digital Pseudonyms", by David Chaum 'Communications of the ACM, Feb. 1981, Volume 24, Number 2; p.p. 1-12; printed from the Internet 03/13/2001 from <a href="http://world.std.com/ franl/crypto/chaum-acm-1981.html">http://world.std.com/ franl/crypto/chaum-acm-1981.html</a></p>
2S	<p>"The NymIP Effort", p.p. 1 (with citations) printed from the Internet on 03/14/2001 from <a href="http://nymip.velvet.com/">http://nymip.velvet.com/</a></p>

**EXAMINER**

**DATE CONSIDERED**

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR</b> <b>APPLICANT'S INFORMATION DISCLOSURE</b> <b>STATEMENT</b>  <b>(Use several sheets if necessary)</b>	<b>ATTY. DOCKET NO.</b>	<b>APPLICATION NO.</b>	<b>CONFIRMATION NO.</b>
	<b>10004408-1</b>		
	<b>APPLICANT</b> <b>Poorvi L. Vora, et al.</b>		
	<b>FILING DATE</b>	<b>GROUP</b>	
<b>Herewith</b>			

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	3A					
	3B					
	3C					
	3D					
	3E					
	3F					
	3G					
	3H					
	3I					
	3J					
	3K					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	3L							
	3M							
	3N							
	3O							
	3P							

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

3Q	<p>"Goals of the NymIP Effort" p.p. 1-3; printed from the Internet on 03/14/2001 from <a href="http://nymip.velvet.com/cvs/general/goals.html">http://nymip.velvet.com/cvs/general/goals.html</a></p>
3R	<p><sup>2</sup>"Security of Statistical Databases: Multidimensional Transformation" by Jan Schlorer, Universitat Ulm, W. Germany, 'ACM Transactions on Database Systems', Vol.6, No.1, March 1981, PP95-112</p>
3S	<p>"Optimal Disclosure Limitation Strategy In Statistical Databases: Deterring Tracker Attacks Through Additive Noise", by George T. Duncan and Sumitra Mukherjee, 'Access and Confidentiality In Statistical Databases:' June 16, 1998, p.p. 1-20 printed from the Internet 06/18/2001 from <a href="http://duncan.heinz.cmu.edu/GeorgeWeb/Optimal%20Disclosure%20Limitation%2098%2...">http://duncan.heinz.cmu.edu/GeorgeWeb/Optimal%20Disclosure%20Limitation%2098%2...</a></p>

**EXAMINER**

**DATE CONSIDERED**

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR</b> <b>APPLICANT'S INFORMATION DISCLOSURE</b> <b>STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b>	<b>APPLICATION NO.</b>	<b>CONFIRMATION NO.</b>
	<b>10004408-1</b>		
	<b>APPLICANT</b> <b>Poorvi L. Vora, et al.</b>		
	<b>FILING DATE</b>	<b>GROUP</b>	
	<b>Herewith</b>		

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
4A					
4B					
4C					
4D					
4E					
4F					
4G					
4H					
4I					
4J					
4K					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	4L							
	4M							
	4N							
	4O							
	4P							

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

4Q	<p>"Markets and Privacy" by Kenneth C. Laudon, 'Communications of the ACM' Sept. 1996, Vol.39, No.9; p.p. 92,93,95,97,99,101,103</p>
4R	<p>"Achieving Electronic Privacy" by David Chaum, (Article Appeared in 'Scientific American', Aug. 1992, p96-101) p.p. 1-8 printed from the Internet 03/16/2001 from <a href="http://www.chaum.com.articles/Achieving_Electronic_Privacy.htm">http://www.chaum.com.articles/Achieving_Electronic_Privacy.htm</a></p>
4S	<p>"Principles for Standardization and Interoperability in Web-based Digital Rights Management" A Position Paper for the W3C Workshop on Digital Rights Management (January 2001) Authors: John Erickson, Matt Williamson, Dave Reynolds, Poorvi Vora and Peter Rodgers; p.p. 1-7, printed from the Internet 03/13/2001 from <a href="http://www.w3.org/2000/12/drm-ws/pp/hp-erikson.html">http://www.w3.org/2000/12/drm-ws/pp/hp-erikson.html</a></p>

**EXAMINER**

**DATE CONSIDERED**

FORM PTO-1449	ATTY. DOCKET NO. <b>10004408-1</b>	APPLICATION NO.	CONFIRMATION NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT <b>Poorvi L. Vora, et al.</b>	
(Use several sheets if necessary)		FILING DATE <b>Herewith</b>	GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	5A					
	5B					
	5C					
	5D					
	5E					
	5F					
	5G					
	5H					
	5I					
	5J					
	5K					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	5L							
	5M							
	5N							
	5O							
	5P							

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

5Q	<p>"Security-Control Methods for Statistical Databases: A Comparative Study" by Nabil R. Adam and John C. Wortmann, 'ACM Computing Surveys', Vol.21, No.4, Dec. 1989, p.p. 515-554</p>
5R	<p>"A Right To Read Anonymously: A Closer Look at "Copyright Management" in Cyberspace" by Julie E. Cohen, originally published 28. Conn.L.Rev.981 (1996). pp 1-77</p>
5S	

**EXAMINER**

**DATE CONSIDERED**